

## (Item 5) Internal Audits - Schedule and Status

Not Issued

### Cash Handling - Rec Centers, Police, Convention Ctr, Muni Ct

| 2017                    | Audit | Cash Handling  | Comments                   |
|-------------------------|-------|----------------|----------------------------|
| Type of Audit           |       | Internal       | Part of audit plan 2nd qtr |
| Auditor                 |       | Internal Audit |                            |
| Due Date of Audit       |       | TBD            |                            |
| Date Field Work Started |       |                |                            |

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| 2017                    | Audit | Park Bond Follow Up | Comments                   |
|-------------------------|-------|---------------------|----------------------------|
| Type of Audit           |       | Internal            | Part of audit plan 1st qtr |
| Auditor                 |       | Internal Audit      |                            |
| Due Date of Audit       |       | TBD                 |                            |
| Date Field Work Started |       |                     |                            |

| 2015                    | Audit | Parking Follow Up Review | Comments   |
|-------------------------|-------|--------------------------|--|
| Type of Audit           |       | Internal                 | Turnover in Parking has resulted in the findings not being resolved. |
| Auditor                 |       | Internal Audit           |  |
| Due Date of Audit       |       | TBD                      |  |
| Date Field Work Started |       | 05/15/2015               |  |

|                         |       |  |   |
|-------------------------|-------|--|---|
| <b>2015</b>             | Audit | <b>Parking Forensic Audit Follow Up</b>  | <b>Comments</b>   |
| Type of Audit           |       | Internal                                 | Turnover in Parking has resulted in the findings not being resolved.                                  |
| Auditor                 |       | Internal Audit                           |   |
| Due Date of Audit       |       | TBD                                      |   |
| Date Field Work Started |       | 05/15/2015                               |   |
| <b>2017</b>             | Audit | <b>Cash Reserves / Negative Balances</b> | <b>Comments</b>   |
| Type of Audit           |       | Internal                                 | Part of audit plan - dates and times not listed. Will try to fit this in as it is an important topic. |
| Auditor                 |       | Internal Audit                           |   |
| Due Date of Audit       |       | TBD                                      |   |
| Date Field Work Started |       | TBD                                      |   |
| <b>2017</b>             | Audit | <b>Duplicate Payments</b>                | <b>Comments</b>   |
| Type of Audit           |       | Internal                                 | Part of audit plan 3rd and 4th quarter.   |
| Auditor                 |       | Internal Audit                           |   |
| Due Date of Audit       |       | TBD                                      |   |
| Date Field Work Started |       | TBD                                      |   |
| <b>2017</b>             | Audit | <b>Family Medical Leave Act</b>          | <b>Comments</b>   |
| Type of Audit           |       | Internal                                 | Part of audit plan 2nd and 3rd quarter.   |
| Auditor                 |       | Internal Audit                           |   |
| Due Date of Audit       |       | TBD                                      |   |
| Date Field Work Started |       | TBD                                      |   |

|                         |       |  |   |
|-------------------------|-------|--|---|
| <b>2017</b>             | Audit | <b>Genoveva Chavez Community Center</b>      | <b>Comments</b>   |
| Type of Audit           |       | Internal                                     | This audit is the result of a fraud hotline tip.          |
| Auditor                 |       | Internal Audit                               |   |
| Due Date of Audit       |       | TBD  |   |
| Date Field Work Started |       | 02/29/2016                                   |   |
| <b>2017</b>             | Audit | <b>Public Utilities - Phase Two Performa</b> | <b>Comments</b>   |
| Type of Audit           |       | Internal                                     | Part of audit plan - 3rd qtr                              |
| Auditor                 |       | Internal Audit                               |   |
| Due Date of Audit       |       | TBD  |   |
| Date Field Work Started |       | 01/15/2016                                   |   |
| <b>2017</b>             | Audit | <b>Temporary Employees</b>                   | <b>Comments</b>   |
| Type of Audit           |       | Internal                                     | This audit is a result of a tip received from an employee |
| Auditor                 |       | Internal Audit                               |   |
| Due Date of Audit       |       | TBD  |   |
| Date Field Work Started |       |  |   |
| <b>2017</b>             | Audit | <b>Vendor Security Audit</b>                 | <b>Comments</b>   |
| Type of Audit           |       | Internal                                     | Part of audit plan 1st and 2nd quarter.                   |
| Auditor                 |       | Internal Audit                               |   |
| Due Date of Audit       |       | TBD  |   |
| Date Field Work Started |       | TBD  |   |
| <b>City of Santa Fe</b> |       |  |   |

| <b>2016</b>             | <b>Audit</b>   | <b>Public Utilities - Phase One - Audit of</b> | <b>Comments</b>   |
|-------------------------|----------------|--|---|
| Type of Audit           | Internal       |  | 05/05/2016 This report is on hold as there is an on-going investigation. Once the investigation is concluded the report will be issued. 02/23/2016 This report is in draft stages. Waiting for clearance from legal, SFPD, and the State Auditor's Office to release. |
| Auditor                 | Internal Audit |  |   |
| Due Date of Audit       | 03/31/2016     |  |   |
| Date Field Work Started | 11/01/2015     |  |   |